

Santa Clara Valley Open Space Authority
RECORDS RETENTION SCHEDULE

ID # BRD-033
 Rev 04
 Date 09/26/2024
 Reso 24-50

			RETENTION PERIODS			FORMAT	VITAL	DoR	REMARKS
			Active	Inactive	Total				
		Copies, Duplicates, Drafts for which a department is not the department or office of record (DoR).	DR	N/A	DR	E, HC	0	All	Duplicates and copies distributed to various departments for informational purposes and drafts may be destroyed by the departments when they are no longer useful for reference.
100	-00	ADMINISTRATION							Notes
101	-00	OFFICE GENERAL MANAGEMENT							
101	-01	General Information	2	0	2	HC	0	ADM	Documents not listed in the records retention schedule and considered routine in nature.
101	-02	Correspondence- Routine	C	2	C+2	HC	0	ADM	Administrative, chronological, communications, general files, letters, memorandums, miscellaneous reports, working files, regulatory agencies
101	-03	Policies/Procedures	C	2	C+2	E, HC	0	ADM	Procedures in support of policies (not officially approved)
101	-04	Documents or publications of historical or archival value to the Authority in the opinion of the General Manager or the Records Manager	2	P	P	E, HC	VITAL	ADM	
101	-05	Electronic Communications (emails, chats, texts, etc) pertaining to Authority business	2	0	2	E	0	ADM	Emails that constitute a record that should be retained longer should be printed out or saved in a more permanent electronic format outside the Authority's email
101	-06	Staff, Board and Committee Directories	C	0	C	E	0	ADM	
101	-07	Forms (incomplete)	C	0	C	E, HC	0	ADM	Forms used for business processes, form index
101	-08	Work plans	C	2	2	E, HC	0	ADM	
101	-09	Public Records Request	C	2	2	E, HC	0	ADM	Requests and responses
102	-00	LEGISLATIVE/LEGAL							
102	-01	Legislative/Legal General Information	2	0	2	E, HC	0	ADM	Documents not listed in the records retention schedule and considered routine in nature.
102	-02	Agenda packets from Board of Directors meetings	P	P	P	E, HC	VITAL	ADM	Agenda, reports, supporting documentation
102	-03	Legal notices and publications	C	4	4	E, HC	0	ADM	Includes public notices, legal publications, proof of postings
102	-04	Oaths of Office	C	6	C+6	HC	0	ADM	Elected Officials
102	-05	Original Minutes	P	P	P	E	VITAL	ADM	Final minutes approved by the governing Board
102	-06	Recording of meeting minutes	P	P	P	E	VITAL	ADM	Audio or video -- when used for minute preparation
102	-07	Resolutions & Ordinances	P	P	P	E, HC	VITAL	ADM	Governing body approved.
102	-08	Ballots	C	1	C+1	HC	0	ADM	Property related fees (Assessment Ballot proceeding)
102	-09	Documents relating to ballot measures - Historical	P	P	P	E, HC	VITAL	ADM	Containing historical value, polling results
102	-10	Documents relating to ballot measures - non-historical	C	2	2	HC	0	ADM	Duplicate documents, notes, polling results
102	-11	Fair Political Practices Commission (FPPC) -- Conflict of Interest Forms and Info/Form 700 -- Elected officials	C	7	T+7	E, HC	0	ADM	Annual filing, elected officials
102	-12	Fair Political Practices Commission (FPPC) -- Ethics Training and Harassment Training	C	5	C+5	E	0	ADM	Certificates of completion, policies, training documents for AB1234.
102	-13	Applications to Board and CAC -- Not selected	2	0	2	HC	0	ADM	Not selected (includes CAC)
102	-14	Applications to Board and CAC -- Selected	C	2	C+2	E, HC	0	ADM	selected (includes CAC)

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102	-15	Contracts & Agreements (excluding capital improvement)	T	5	T+5	HC	0	ADM	Includes leases, equipment, services, or supplies; mitigation agreements, professional services agreements, management agreements
102	-16	Joint Powers Agreement	C	P	P	HC	VITAL	ADM	Any Joint Powers Agreements approved by the Board (currently with SDRMA for Workers Comp)
102	-17	Contracts & Agreements for capital improvement	P	P	P	E, HC	VITAL	ADM	Capiral Projects
102	-18	20% Funding Applications -- Not Approved	C	2	2	HC		CSP	
102	-19	20% Funding Agreements -- Approved	P	P	P	E, HC	VITAL	CSP	Applications, reports, contracts, supporting documents, easments
102	-20	Litigation files	C	7	C+7	HC	0	LGL	
102	-21	Engineer's Reports for Assessment Districts	C	P	P	E, HC	VITAL	ADM	Annual report prepared for reinstatement of assessment districts
102	-22	Grand Jury Reports	2	8	10	HC	0	ADM	Includes responses
102	-23	Conflict of Interest Code Bi-ennial Filing	C	2	2	E	0	ADM	
102	-26	Settlement Agreements	P	P	P	E, HC	0	ADM	
102	-27	ADA Compliance Self Evaluation	C	7	C+7	E	0	ADM	
102	-28	Expenditure Plan Oversight Committee	C	5	C+5	E	0	ADM	Agenda, supporting documentation, including defunct committees, Annual Reports
102	-29	Urban Grant Program Applications - Awarded	P	P	P	E	VITAL	CSP	Applications, supporting documentation
102	-30	Urban Grant Program Applications - Not Awarded	2	2	2	E	VITAL	CSP	
102	-31	Fair Political Practices Commission Reporting	C	5	C+5	E	VITAL	CSP	Report of Lobbyist Employer, Form 635, Form 460, financial records, substantiating documents
102	-32	Letters of Support	C	7	C+7	E	0	CSP	Advocacy
103	-00	SAFETY							
103	-01	Safety General Information	2	0	2	E, HC	0	ADM	Documents not listed in the records retention schedule and considered routine in nature.
103	-02	Safety Training Records	C	2	C+2	HC	0	ADM	Certificates of completion, attendance rosters
103	-03	Ergonomic Evaluation and Job Analysis	C	7	C+7	HC	0	ADM	
103	-04	Training Materials	C	2	C+2	HC	0	ADM	
103	-05	Apparatus/Vehicle Records, Inventory, Equipment and Supplies	C	2	C+2	HC	0	ADM	Repair and maintenance records
103	-06	Emergency Management Plan	C	2	C+2	E, HC	0	ADM	
104	-00	RISK MANAGEMENT							
104	-01	Risk Management General Information	2	0	2	E, HC	0	ADM	Documents not listed in the records retention schedule and considered routine in nature.
104	-02	Permits for Use	C	2	C+2	E, HC	0	ADM	Completed permits for use of OSA lands
104	-03	Bonds, Insurance Certificates for Liability, Property, Crime, Worker's Comp	2	10	12	E, HC	VITAL	ADM	Bonds and insurance policies insuring Authority property and other assets
104	-04	Incident Reports	C	7	C+7	E, HC	0	ADM	Theft, arson, vandalism, property damage or similar occurrence
104	-05	Insurance	C	10	C+10	E, HC	VITAL	ADM	Policy and other supporting documentation
104	-06	Property damage claims	C	5	C+5	E, HC	0	ADM	Includes claim reports, employee reports, photos
104	-07	Risk Management Reports	C	5	C+5	E, HC	VITAL	ADM	CalOSHA Forms; Loss Analysis Report; Safety Reports
105	-00	RECORDS MANAGEMENT							Notes
105	-01	Records Management General Information	2	0	2	HC	0	Various	Documents not listed in the records retention schedule and considered routine in nature.
105	-02	Records of Destruction	2	P	P	HC	0	ADM	Record Destruction Requests and Proof of Destruction

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105	-03	Records Retention Schedules	C	2	C+2	E, HC	VITAL	ADM	Procedures in support of policies (not officially approved)
105	-04	Records Inventory Logs	C	0	C	E	VITAL	ADM	Logs from vendor portal
106	-00	INFORMATION SYSTEMS							Notes
106	-01	Information Systems General Information	2	0	2	E, HC	0	ADM	Documents not listed in the records retention schedule and considered routine in nature.
106	-02	Internet / World Wide Web	C	0	C+2	E	0	ADM	Analysis reports
106	-03	Inventory / computers and information systems	C	2	C+2	E HC	VITAL	ADM	Letter, Memos, Faxes, General/Public, Reports, Subject Files
106	-04	Electronic Files & Directories	C	0	C	E	VITAL	ADM	Procedures in support of policies (not officially approved)
106	-05	Intranet / Internal Employee website	C	0	C	E	0	ADM	Procedures in support of policies (not officially approved)
200	-00	PLANNING AND DEVELOPMENT							Notes
201	-01	Planning and Development General Information	2	0	2	HC	0	PDC	Documents not listed in the records retention schedule and considered routine in nature.
201	-02	Project files	C	10	C+10	E, HC	0	PDC/LRP	Project descriptions (project charter), project budget, research (products, materials, permitting, etc)
201	-03	Maps, blueprints, drawings, plans	P	P	P	E, HC	VITAL	PDC/LRP	Master plans, construction drawings, technical specifications, reports
201	-04	Records of construction projects prior to notice of completion	C	2	C+2	E, HC	0	PDC/LRP	Bids, submittals, RFIs, change orders, substitutions, sub-contractor change, important communications with contractors, records that could have potential legal dispute.
201	-05	Grant Applications -- Applied for and Accepted	P	P	P	E	VITAL	CSP	Contracts and deeds, conservation easements, applications, and supplemental material
201	-06	Grant Applications -- Denied or Unaccepted	C	2	C+2	E	0	CSP	
201	-07	Requests for Proposals (RFP), RFQs, Bids	AU	5	AU+5	E	VITAL	ADM	Call for proposals from vendors, solicitation, RFIs, addendum, bid submittals, bid acceptance
201	-08	Unaccepted construction bids/proposals	AU	2	AU+2	HC	VITAL	ADM	
201	-09	CEQA Documents, Environmental Impact Reports, Draft EIR	P	P	P	HC	VITAL	PDC/LRP	Public notices (NOP, NOI, NOC), final documents, appendices and reports
201	-10	Permits	C	5	C+5	E, HC	VITAL	PDC/LRP	Permits obtained by OSA for construction, whether local, State or Federal. Permit and monitoring requirements
201	-11	Reports, studies, plans/master plans	P	P	P	E,HC	0	VARIOUSL	e.g. Greentprint, Ag Plan, Understanding Coyote Valley, CVCAMP, etc. whitepapers
201	-12	Resource Surveys	P	P	P	E	VITAL	NRS	Archeological surveys, biological surveys, geological surveys, historic and cultural surveys for OSA properties
201	-13	Technical/Background Reports	P	P	P	E	0	NRS	Memos for hydrological conditions and deliverables
202	-00	PROPERTY RECORDS							Notes
202	-01	Property General Information	2	0	2	E, HC	0	CSP	Documents not listed in the records retention schedule and considered routine in nature.
202	-02	Legal agreements, deeds, conservation easements, amendments, etc.	P	P	P	E, HC	VITAL	CSP	Includes deeds, grant deeds, deeds of trust and assignment of rents, quitclaim deeds, deed restrictions, subordination agreements, promissory notes secured by property, easements, covenant of easement, public access easements. Recorded documents are also duplicated at the County Recorder office.
202	-03	Critical Correspondence	P	P	P	E, HC	VITAL	CSP	Correspondence with landowner related to project goals, tax and legal matters, notifications, approvals, enforcement, and other key matters the organization determines essential to the defense of the transaction.
202	-04	Baseline Conservation Easement Documentation	P	P	P	E, HC	VITAL	CSP	Baseline documentation reports for conservation easements.

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202	-05	Title Insurance	P	P	P	E, HC	VITAL	CSP	Title insurance policies or evidence of title investigation.
202	-06	Surveys	P	P	P	E, HC	VITAL	CSP	Recorded surveys are also duplicated at the County Recorder office.
202	-07	Complete Appraisals	P	P	P	E, HC	VITAL	CSP	Full appraisals (or summary appraisals if full appraisals are not available) used to substantiate the purchase price or used by the landowner to substantiate the tax deduction.
202	-08	Due Diligence Records	P	P	P	E, HC	VITAL	CSP	Phase I/II ESAs, inspections, sellers disclosures
202	-09	Form 8283	P	P	P	E, HC	VITAL	CSP	for projects where the landowner claimed a federal tax deduction (the organizations "original" can be a copy of the landowner's signed original).
202	-10	Conservation Easement Monitoring Reports	P	P	P	E, HC	VITAL	CSP	Includes photos, GIS data
202	-11	Fee Property Inspection Records	P	P	P	E, HC	VITAL	CSP	Fee property inspection records essential to the stewardship and defense of the property
202	-12	Contracts and Leases Relative to Land Management Activities	T	5	T+5	E, HC	0	CSP	Contracts and leases relative to long-term land management activities (original retained for only as long as it and applicable statute of limitations is in effect)
202	-11	Biological Monitoring	C	5	C=5	E, HC	0	NRS	Monitoring data, pictures, logs
202	-12	Restoration Design Plans	C	5	C+5	E, HC	0	NRS	
300	-00	COMMUNITY PROGRAMS							Notes
301	-01	Interpretive and Public General Information	2	0	2	E, HC	0	COM	Documents not listed in the records retention schedule and considered routine in nature.
301	-02	Brochures, publications, newsletters, bulletins, fliers	C	2	2	E, HC	0	COM	If historical value, archive permanently
301	-03	Brochures	P	P	P	HC	0	COM	Publications for the General Public; save at least one copy of all brochures/colateral for posterity
301	-04	Media relations	C	2	2	E, HC	0	COM	press releases, newspaper articles, radio ads, message boards, presentations, clippings
301	-05	Social Media Pages	C	2	C+2	E	0	COM	Archive Social, photos, video
302	-00	INTERPRETIVE PROGRAMS							
302	-01	Interpretive program materials	C	2	2	E, HC	0	FLD	Documents not listed in the records retention schedule and considered routine in nature.
302	-02	Interpretive program descriptions	C	2	2	E, HC	1	FLD	
302	-03	Interpretive program general information	C	2	2	E, HC	2	FLD	
303	-00	VOLUNTEER PROGRAMS							
303	-01	Volunteer Liability Forms/Sign In Sheets, Completed	C	5	C+5	E, HC	0	FLD	Completed waiver of liability forms, Volunteer sign in sheets with liability statements
303	-02	Volunteer Program Materials	C	2	C+2	E, HC	0	FLD	Training, manuals, informational material
400	-00	ACCOUNTING & FINANCE							Notes
401	-01	General Information	2	0	2	E, HC	0	ADM	Documents not listed in the records retention schedule and considered routine in nature.
401	-02	Accounting/Cash Reconciliation, Accounts Payable, Accounts Receivable, Bank Statements, Expense Reports, Deposit and Receipt Records, Monthly Financial Statements, Purchase Orders, Purchase Requisitions, Invoices, Warrants, General Ledger and computer accounting records	AU	5	AU+5	E, HC	VITAL	ADM	Current documents are vital records, wire transfers, verification of filings, state controller's reports
401	-03	Journal Entries	AU	7	AU+7	E, HC	VITAL	ADM	Account postings with supporting documents

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401	-04	1099's	AU	5	AU+5	E, HC	VITAL	ADM	
401	-05	Cancelled Checks	AU	5	AU+5	E, HC	VITAL	ADM	Includes payroll, canceled & voided
401	-06	Investment Records	C	P	P	E, HC	VITAL	ADM	Summary of transactions, inventory and earnings reports
401	-07	Audit -- Independent Annual Audit	AU	5	5	E, HC	VITAL	ADM	Independent auditor analysis
401	-08	Budget -- Approved by Board	C	P	P	E, HC	VITAL	ADM	Annual operating budget approved by governing body
401	-09	Budget Adjustments	AU	5	AU+5	E, HC	VITAL	ADM	Account transfers, appropriation and transfer of funds, creation and modification of account categories, mid-year review reports.
401	-10	Budget -- Internal Operating Budget	C	2	2	E, HC	0	ADM	Departmental reference
401	-11	IRS Related documents	AU	10	AU+10	E, HC	VITAL	ADM	
401	-12	Non-discharged debts	C	7	C+7	E, HC	VITAL	ADM	
401	-13	Assessment Districts	C	P	P	E, HC	VITAL	ADM	Collection information, account statement, staff reports, compliance documentation
401	-14	Donations	2	3	5	E, HC	0	ADM	Gifs and donations
401	-15	Payroll Records	4	0	4	E, HC	VITAL	ADM	Employee information, payroll register, position, individual wage records, time and ay workweek begins, regular hourly rate, hours worked, overtime earnings, straight time earnings, deductions from or additions to wages, wages paid each pay period, payment dates and periods, piece rates, retirement transmittals, payroll taxes, use tax
401	-16	Employee Wage Records	3	5	C+5	E, HC	VITAL	ADM	Time sheets, wage rate calculations, shift schedules, individual employee hours and days, piece rates
500	-00	PERSONNEL/HUMAN RESOURCES							Notes
501	-01	Personnel/HR General Information	2	0	2	E, HC	0	ADM	Documents not listed in the records retention schedule and considered routine in nature.
501	-02	Employment Contracts	3	0	3	E, HC	VITAL	ADM	Employee contracts
501	-03	Volunteer Interest Forms/Application	2	0	2	E, HC	0	Various	Applications, Interest Forms, interview forms
501	-04	Board member Files	C	P	P	E, HC	0	ADM	Retain for historical value; includes general info, dates served, W-4
501	-05	Employee Health Records (Confidential)	T	5	T+5	E, HC	VITAL	ADM	First aid records of job injuries causing loss of work time; drug and alcohol test records, medical and health benefit information
501	-06	Chemical safety and toxic exposure records	T	30	T+30	E, HC	VITAL	ADM	Chemical safety records and toxic exposure records must be kept for duration of employment plus 30 years.
501	-07	Employee Personnel Files	P	P	P	E, HC	VITAL	ADM	Includes offer letter, salary history, training certificates, merit awards, evaluations, discipline, may include other personnel related info, EDD correspondence
501	-08	Federal I-9 -- Employment Eligibility Verification	3	0	T+3	E, HC	VITAL	ADM	Keep at least 3 years or 1 year after termination, whichever is longest.
501	-09	Recruitment, Hiring and Job Placement Records	2	0	2	E, HC	0	ADM	Applications, resumes, logs, exam materials, exam answer sheets, announcements, bulletins, eligibility, electronic database
501	-10	Training Records	C	2	C+2	E, HC	0	ADM	Employee & Volunteer Training Records
501	-11	Job Descriptions	C	2	C+2	E, HC	VITAL	ADM	Current documents are vital records, CPR's
501	-12	Classifications & Surveys	C	2	C+2	E, HC	0	ADM	Classification and wage studies
502	-00	BENEFITS							
502	-01	Employee Health Benefits Plan Data	C	6	C+6	E, HC	VITAL	ADM	Summary Plan Descriptions and other health benefit plan documentation
502	-02	Retirement Plan Information	C	P	P	E, HC	VITAL	ADM	PERS, Social Security, SSI, ICMA, etc., Employee records, plan documents, contracts, etc.
503	-00	WORKER'S COMPENSATION							
503	-01	Employee Files (Confidential File)	C	P	P	E, HC	VITAL	ADM	Claim Files, Reports, Incidents (working files) originals filed with Administrator

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503	-02	Forms and Handouts	C	2	C+2	E, HC	0	ADM	
503	-03	Reports	2	P	P	E, HC	0	ADM	Includes utilization and state reporting
503	-04	Administrator Correspondence	2	3	5	E, HC	0	ADM	
503	-05	Personal Physician Form	C	P	P	HC	VITAL	ADM	
600	-00	OPERATIONS							Notes
601	-01	Operations General Information	2	0	2	E, HC	0	FLD	Documents not listed in the records retention schedule and considered routine in nature.
601	-02	Inventory, Equipment, Parts & Supplies	C	2	C+2	E, HC	0	FLD	
601	-04	Maintenance Operations	C	2	C+2	E, HC	0	FLD	Related requests for service and work orders
601	-05	Vehicle Ownership & Title	C	C	C	HC	VITAL	ADM	
601	-06	Building & Facilities Maintenance	C	2	C+2	E, HC	0	ADM/FLD	
601	-07	Recorded Video Monitoring Footage	C	1	1	E	0	FLD	To include recordings of routine video monitoring
601	-08	Property photos	C	C	DR	E	0	FLD	
601	-09	Vehicle Maintenance Logs	C	2	C+2	E, HC	0	ADM/FLD	
601	-10	GIS	C	C	C	E	0	FLD/PDC	ArchGIS

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